

#3 Sector

FORMALITIES LETTER



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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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09/541,197

04/03/2000

Jerome S. Golden

828-002

Joseph Sofer
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 342 Madison Avenue
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 New York, NY 10173



Date Mailed: 06/20/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$342.
■ \$342 for 19 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1162.**

*A copy of this notice **MUST** be returned with the reply.*

Jerome S. Golden
 Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/21/2000 WKOROMA 00000026 09541197

01 FC:201	345.00 DP
02 FC:205	65.00 DP
03 FC:203	171.00 DP
04 FC:299	10.00 DP

Attorney Docket No.: 828-002

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of
Golden
Serial No.: 09/541,197

Filed: April 3, 2000

For: SYSTEM AND METHOD FOR PROVIDING
SECURE RETIREMENT BENEFITS VIA A
CONVERSION PROCESS



**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
FILING DATE GRANTED**

Hon. Commissioner of Patents
and Trademarks
Washington, D.C. 20231

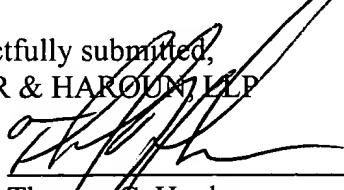
SIR:

Enclosed with this Response, please find two checks in the amount of \$591.00 (for the basic application filing fee and surcharge) and another check in the amount of \$40.00 (for the Assignment) along with the Declaration, two Small Entity Forms, Assignment and Assignment Recordation Sheet. A copy of PTO-1533, Notice to File Missing Parts of Application, is also enclosed.

Any additional fees required in connection with this application may be charged to Deposit Account No. 19-2825.

Respectfully submitted,
SOFER & HAROUN, LLP

By:


Thomas C. Hughes
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342 Madison Avenue, Suite 1921
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(212) 697-2800

Dated: July 17, 2000



PATENT

Docket No. 828-002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Jerome S. Golden
Serial No. : 09/541,197 Examiner: TBA
Filed : April 3, 2000
For : SYSTEM AND METHOD FOR PROVIDING SECURE RETIREMENT
BENEFITS VIA A CONVERSION PROCESS

CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

HON. COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

Sir:

I hereby certify that the attached Notice to File Missing Parts, Response to Notice to File Missing Parts, Declaration, two Small Entity Forms, two checks for \$40.00 and \$591.00, Assignment, Assignment Recordation Sheet and Return Postcard along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Respectfully submitted,

SOFER & HAROUN, L.L.P.

By: Hawover P

Ester Aronova

Date: 7/17/00

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